

Corrective Action Plan Status Report a/o June 2008

APA Audit of Commonwealth IT Governance and VITA Operations as of 4/7/06

20 of the 21 planned corrective actions are complete. The current statuses for the 21 corrective actions are as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 20 objectives (95.2%)
- ❖ **Yellow** - 1 objective (4.8%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Address Conflict in Dual CIO Roles	10/06	Green	• Complete
2. Continue to Support COVF's Roadmap	07/06	Green	• Complete
3. ITIB & CIO Execute an IT Strategic Communications Plan	07/06	Green	• Complete
4. Improve Agency Strategic Planning & IT Investment Decision Process	11/06	Green	• Complete
5. Ensure Agencies Understand How Agency IT Strategic Planning Process Supports the COV Plan	07/06	Green	• Complete
6. Change IT Project Submission Deadline	06/07	Green	• Complete
7. Include Life Cost of Projects	09/07	Green	• Complete
8. Simplify RTIP Project Listing	01/07	Green	• Complete
9. RTIP Enhancement	02/07	Green	• Complete
10. Identify Alternative IT Project Funding	07/06	Green	• Complete
11. Hire PMD Staff	01/07 10/07	Green	• Complete
12. Fix Ops. & Gov. Roles Conflicts	09/06	Green	• Complete
13. Improve PMD Effectiveness & Efficiency	01/07 10/07	Green	• Complete
14. Improve PMD Oversight Policies and Procedures	02/07	Green	• Complete
15. Establish Written Criteria for CIO Project Recommendations	11/06	Green	• Complete
16. Implement Security Operating Plan	10/06	Green	• Complete
17. Develop Timeline for Security Standards	10/06	Green	• Complete
18. Adopt Uniform Infrastructure Procedure	06/08 3/09	Yellow	<p>• The partnership's plan to complete the procedures manual by 6/08 was unsuccessful. The contingency planning reported 5/08 was also unsuccessful.</p> <p>Progress to date:</p> <ul style="list-style-type: none"> • Fully approved – 52 • Adopted, awaiting process review board – 179 • To be completed - ~170

VITA Corrective Action	Due Date	Status	Comments
			A new team has been brought onto the partnership to update the procedures manual outline, streamline document management processes, & develop a comprehensive schedule for the procedures manual project. The updated schedule will incorporate a prioritization approach targeting Service Catalog – impacting processes first, then agency specific & ITP internal processes as second priority. The plan to complete the remaining procedures is undergoing a major revision. (Fred Duball)
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	01/07	Green	• Complete
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	• Complete
21. Revise & Require SOW Template to Document Specific Deliverables	08/06	Green	• Complete

APA Audit of VITA Service Management Organization, Issued 4/08

The current statuses for the 4 corrective actions are as follows:

❖	Blue	-	0 objectives	(0%)
❖	Green	-	3 objectives	(75%)
❖	Yellow	-	1 objectives	(25%)
❖	Red	-	0 objectives	(0%)

VITA Corrective Action	Due Date	Status	Comments
1. Contingency for Procedures Manual Deliverable	7/08	Green	<ul style="list-style-type: none"> The procedures manual was not completed as planned on the 5/08 update. As a contingency, existing processes will continue to be used. Also, the partnership will control significant modifications to support models that would be adversely impacted by not having a supporting enterprise wide procedures manual. A go live checklist will be developed for each service area to evaluate readiness. The managed service environment requires technology enhancements, processes, procedures, staffing, training, & performance measurements (via KPI and SLA reports) be in place. (Fred Duball)
2. Completion of 56 DCD's for Performance Credit Eligible SLA's with NG on 7/1/08 at risk	7/08 10/08	Yellow	<ul style="list-style-type: none"> Of the 56 DCDs scheduled to be completed prior to 7/1: <ul style="list-style-type: none"> 7 were moved to a later date via a contractual ECP 37 are complete 12 are in collaboration, & will be late <p>Project the 12 remaining DCDs (in collaboration and draft) will all be complete by 10/08. (Fred Duball)</p>
3. Clarify & communicate RFS process	7/08	Green	<ol style="list-style-type: none"> Complete. CAM team is accountable for Lead Qualification. Need to update detailed procedural documents, where needed. a. Developed Charter for Customer Account Teams (include significant focus on Lead Qualification & Strategic Planning).

VITA Corrective Action	Due Date	Status	Comments
			<p>b. Conduct CRM Work Shops & Provide recommendations/next steps. - Workshops are now complete. Follow-up to take place with Executive Mgmt. Priorities regarding upcoming workshops & follow-up to be established during the Executive Mgmt session. We will offer hour-long follow up sessions to customer facing staff focused on the following: dealing with customers, collecting & understanding business requirements, communications skills, & building internal & external customer relationships.</p> <p>c. Monitor/report effectiveness of Customer Account Team meetings to ensure customers are engaged early in the project process. - Ongoing</p> <p>d. Identify & conduct root cause/corrective actions (agency communications, escalation, etc..) on any future projects that are introduced late in the RFS process (not in strategic plan, customer leverages 3rd party, but does not involve/inform VITA, provides project requirements with short implementation time frames, etc..). - Ongoing.</p> <p>3. Complete - Communications Plan approved.</p> <p>4. Ongoing - Following the plan, have delivered</p> <p>5. In-Flight Issues log is developed & in use. This is used to proactively managed & address delays as they occur. The Monthly Performance metrics are behind schedule & are now due July.</p> <p>6. Pending - Have added an additional 9 staff to focus on RFS solution development & implementation. Target for additional staff is 13. Expect all 13 to be on board during July. (Fred Duball)</p>
4. Improve analysis & reporting of VITA service issues to the Board	10/08	Green	<ul style="list-style-type: none"> Corrective actions will be in place for July Board meeting. Will seek feedback to confirm if additional improvements are required. (Fred Duball)

Public Safety Communications Report, Issued 2/08

2 of the 14 planned corrective actions are complete. The current statuses for the 14 corrective actions are as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 11 objectives (78.6%)
- ❖ **Yellow** - 3 objectives (21.4%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Document & disseminate internal procedures for CMRS & PSAP, CMRS Surcharge Remissions; & a plan & timeline for training	7/08	Green	• ISP Staff has drafted the internal procedure documentation for CMRS & PSAP, CMRS Surcharge Remissions & is on schedule to complete this corrective action. (Jerry Simonoff)
2. Document & disseminate external policies & procedures for CMRS surcharge collection & remittance, & PSAP funding	7/08	Green	• ISP Staff has begun drafting the external procedure documentation for CMRS surcharge collection & remittance & is on schedule to complete this corrective action. (Jerry Simonoff)
3. Document & disseminate a methodology to assess accuracy of CMRS surcharge remittance activity	9/08	Green	• ISP Staff has drafted the methodology documentation for CMRS surcharge remittance & is on schedule to complete this corrective action. (Jerry Simonoff)
4a. Define & document VITA procedures for review, approval & processing of invoices	5/08 7/08	Yellow	• New policies & procedures for Cash Receipt & Vendor Invoice have been developed & were submitted for internal review on 5/13/08. Due to a backlog of policies under review, these policies & procedures are scheduled for completion in July. (Jim Roberts)
4b. Define & document PSC procedures for the review & verification CMRS provider invoices	7/08	Green	• ISP Staff has begun documentation for the review & verification of CMRS provider invoices. Additionally, a staff member, who will be able to assist in this effort, is being added with specific CMRS experience. Though this corrective action is behind schedule, it is expected to be completed on schedule. (Jerry Simonoff)
5a. Define & document data entry procedure for posting of CMRS surcharge revenue payments	5/08 7/08	Yellow	• New policies & procedures for Cash Receipt and Vendor Invoice & an updated People Soft Policy & Procedure have been developed and submitted for internal review in May, 2008. Due to a backlog of policies under review, these policies & procedures are scheduled for completion in July. (Jim Roberts)
5b. Enhance PSC oversight controls for CMRS surcharge payments & document in the internal CMRS surcharge procedures	7/08	Green	• ISP staff has not begun work on this item as of yet, but it is expected to be completed on schedule. (Jerry Simonoff)
6. Develop & implement a documented procedure enhancing controls over CMRS provider payments and invoices	5/08 7/08	Yellow	• New policies & procedures for Cash Receipt & Vendor Invoice & an updated People Soft Policy & Procedure have been developed & submitted for internal review in May, 2008. Due to a backlog of policies under review, these policies and procedures are scheduled for completion in July. (Jim Roberts)
7. Document process to check PSC & PeopleSoft records of PSAP payments	3/08	Green	• Complete.
8. Centrally locate all records considered in the granting of PSC funding awards, & incorporate all funding records in the VITA records survey	8/08	Green	• ISP staff has not begun work on this item as of yet. (Jerry Simonoff)
9a. Augment Grant Guideline requirements to include PSAP submission of supporting documentation at application	7/08	Green	• The PSAP Grant Committee has addressed this issue with their last update of the PSAP Grant Guidelines approved by the Wireless E-911 Services Board at their April 22, 2008, meeting. (Jerry Simonoff)
9b. Create a standardized grant application form & implement in an online submission process	8/08	Green	• The online submission form has been modified, as required, as a result of the Wireless E-911 Services Board's action at their April 22, 2008, meeting. (Jerry Simonoff)
10. Evaluate PSC work load to support hire of PSC staff	7/08	Green	• Interviews for this position have been conducted & an offer will be made to an

VITA Corrective Action	Due Date	Status	Comments
support w/ financial background to assist in carrying out recommended control activities			applicant in the coming weeks. (Jerry Simonoff)
11. Provide direct link to PSC legislation on General Assembly website	3/08	Green	<ul style="list-style-type: none"> Complete.

Federal Tax Information Safeguard, Issued 4/08

The current statuses for the 8 corrective actions are as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 7 objectives (87.5%)
- ❖ **Yellow** - 1 objective (12.5%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Assign Accountability of Oversight to Monitor the FTI Process	5/08	Green	<ul style="list-style-type: none"> APM Job Description has been updated to include defined responsibilities for oversight of FTI process. APM has read & understands all requirements. Complete. (Fred Duball)
2a. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08 7/08	Yellow	<ul style="list-style-type: none"> NG Contracts met with Iron Mountain Representative to discuss contract amendment. Negotiations are still being made. A draft amendment has been created. A document is coming from Iron Mountain to illustrate their compliance with the MOA 4.1 requirements. A one month extension is requested to complete activities (Fred Duball)
2b. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08	Green	<ul style="list-style-type: none"> Procedures have been updated & implemented that can now ensure access lists are used to verify parties' involved in the transfer of FTI media. Procedure steps have been implemented to have parties' sign a log & be verified that they are on the current access list of the known qualified parties prior to releasing FTI media. For the most current annual training session, a confidentiality & non-disclosure document was signed by each party listed on the access list & was forwarded to VITA HR. Complete. (Fred Duball)
3. Implement Procedures to Retain Signed Disclosure Forms & Verify Annual Training	7/08	Green	<ul style="list-style-type: none"> Computer Operations performed an annual training session in April 2008 for all the VITA/NG employees on the Tax FTI Data Access list & submitted signed forms to VITA HR to be maintained in VITA HR. On a periodic basis when names are added to the Tax FTI Data Access list, training is provided & the forms required are signed & given to VITA HR. A procedure to be used in VITA HR is in draft form for review & will be finalized by month end July 2008, as requested. (Fred Duball)
4. Update the 2007 MOA Between VITA & TAX	8/08	Green	<ul style="list-style-type: none"> Continuing to work with the Dept. of Taxation to update the MOA (Debbie Secor)
5. Exchange Authorization Lists with Broad Street & TAX Timely	7/08	Green	<ul style="list-style-type: none"> Procedures are in draft for review that will ensure that updates to the name lists for access to FTI data are transferred between VITA/NG, TAX locations & Tax (the Federal

VITA Corrective Action	Due Date	Status	Comments
			Safeguard Coordinator) in a timely manner by adding the date & party on send & receive acknowledgements. (Fred Duball)
6. Distribute & Enforce Procedures for FTI Movement & Custody of All FTI Tapes	7/08	Green	<ul style="list-style-type: none"> A draft plan has been created to illustrate the procedure for maintaining chain of custody when transporting FTI tapes as specified in the MOA section 1.2. An annual training plan is being developed for uniform awareness. (Fred Duball)
7. Update Records Survey to Include FTI Records	8/08	Green	<ul style="list-style-type: none"> The NG PMO is in the process of hiring a Records Manager for the VITA Program to perform the duties reported in April 2008, & coordinate with the VITA Records Manager for full reporting of the records survey to meet the Library of Virginia requirements & MOA section 1.2. (Fred Duball)

Telework Review, Issued 6/08

The current statuses for the 7 corrective actions are as follows:

❖	Blue	-	0 objectives	(0%)
❖	Green	-	7 objectives	(100%)
❖	Yellow	-	0 objectives	(0%)
❖	Red	-	0 objectives	(0%)

VITA Corrective Action	Due Date	Status	Comments
1. Designate a Telework Coordinator & Incorporate Telework Training	7/08	Green	<ul style="list-style-type: none"> Name a Telework Coordinator. (Lem Stewart)
2. Revise & Expand VITA Teleworking Policy & Procedure	1/09	Green	<ul style="list-style-type: none"> Incorporate new legislation & Roadmap report for annual policy update, including DHRM & DOA policy. Submit draft policy for PPRAT review. Announce new telework policy in Dialogue meeting & VITA buzz. (Jim Roberts)
3a. Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions	1/09	Green	<ul style="list-style-type: none"> Review VITA policy for necessary updates & identify any potential conflicts. (Jim Roberts)
3b. Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions	1/09	Green	<ul style="list-style-type: none"> Review telco assets assigned within VITA & align with billing & purpose of assignment. (Jim Roberts)
4. Update Essential Designation Categories for Job Description	11/08	Green	<ul style="list-style-type: none"> Resolution pending as per COOP team discussions. Align terms defined dealing with inclement weather, key employees, essential employees, etc. across policies set by VITA, DHRM, VDEM & other central agencies. (Jim Roberts)
5. Accurately Reflect Telework Statistics	3/09	Green	<ul style="list-style-type: none"> Align new telework definitions in 2008 legislation, DHRM policy & roadmap reports. (Jim Roberts)
6. Document Internal HR Telework Administration Procedures	4/09	Green	<ul style="list-style-type: none"> Incorporate updated HR procedures with new policy & PAM processing for mgmt review. (Jim Roberts)